AMENDMENT TRANSMITTAL

CASE DOCKET NO. 7103-1

IN RE THE APPLICATION OF: LaFore, et al.

SERIAL NO: 09/497,272

DATE FILED: February 3, 2000

FOR: "DATA PROCESSING SYSTEM FOR BROKERAGE HOUSE"

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

RECEIVED

SEP 1 2 2002

GROUP 3600

TRANSMITTED HEREWITH IS AN AMENDMENT IN THE ABOVE-IDENTIFIED APPLICATION

[X]   SMALL ENTITY STATUS OF THIS APPLICATION UNDER 37 CFR 1.9 AND 1.27 HAS BEEN ESTABLISHED BY A VERIFIED STATEMENT PREVIOUSLY SUBMITTED.

THE FILING FEE HAS BEEN CALCULATED AS SHOWN BELOW:

	(COL. 1) CLAIMS REMAINING AFTER AMENDMENT	(COL. 2) HIGHEST NO. PREVIOUSLY PAID FOR	(COL. 3) PRESENT EXTRA	SMALL ENTITY			LARGE ENTITY	
				RATE	ADDITIONAL FEE		RATE	ADDITIONAL FEE
TOTAL:	* 48	- ** 27	21	X $9 =	$189.00	OR	X $18 =	
INDEP:	8	- *** 5	3	X $42 =	$126.00	OR	X $84 =	$240.00
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIMS				+ $140 =		OR	+ $280 =	
			ADDITIONAL FEES	TOTAL:	$315.00	OR	TOTAL:	

*IF THE ENTRY IN COL. 1 IS LESS THAN THE ENTRY IN COL. 2, WRITE "0" IN COL. 3.

**IF THE "HIGHEST NUMBER PREVIOUSLY PAID FOR" IN THIS SPACE IS LESS THAN 20, WRITE "20" IN THIS SPACE.

***IF THE "HIGHEST NUMBER PREVIOUSLY PAID FOR" IN THIS SPACE IS LESS THAN 3, WRITE "3" IN THIS SPACE.

THE "HIGHEST NUMBER PREVIOUSLY PAID FOR" (TOTAL OR INDEPENDENT) IS THE HIGHEST NUMBER FOUND FROM THE EQUIVALENT BOX IN COL. 1 OF A PRIOR AMENDMENT OR THE NUMBER OF CLAIMS ORIGINALLY FILED.

[ ]   PLEASE CHARGE DEPOSIT ACCOUNT NO. 19-1970 IN THE AMOUNT OF $_____. A DUPLICATE COPY OF THIS SHEET IS ENCLOSED.
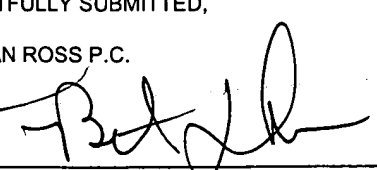
[X]   A CHECK IN THE AMOUNT OF $___315___ TO COVER THE FEE IS ENCLOSED.

[X]   THE COMMISSIONER IS HEREBY AUTHORIZED TO CHARGE PAYMENT OF THE FOLLOWING FEES ASSOCIATED WITH THIS COMMUNICATION OR CREDIT ANY OVERPAYMENT TO DEPOSIT ACCOUNT NO. 19-1970. A DUPLICATE COPY OF THIS SHEET IS ENCLOSED.

[X]   ANY FILING FEES UNDER 37 CFR 1.16 FOR THE PRESENTATION OF EXTRA CLAIMS.
[X]   ANY PATENT APPLICATION PROCESSING FEES UNDER 37 CFR 1.17.

RESPECTFULLY SUBMITTED,

SHERIDAN ROSS P.C.

Brent P. Johnson
Registration No. 38,031

CERTIFICATE OF MAILING
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO COMMISSIONER OF PATENTS AND TRADEMARKS, WASHINGTON, DC 20231 ON 9/4/02.
SHERIDAN ROSS P.C.
BY: Christine Jacquot

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:	)	Group Art Unit: 3628
	)	
LaFore, et al.	)	Examiner: Bui, T.
	)	
Serial No.: 09/497,272	)	AMENDMENT AND RESPONSE
	)	
Filed: February 3, 2000	)	
	)	

Atty. File No.: 7103-1

For: "DATA PROCESSING SYSTEM FOR
BROKERAGE HOUSE"

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Applicant submits this Amendment and Response to address the Office Action having a mailing date of June 21, 2002 (Paper No. 8). Also enclosed is a check in the amount of $315.00 as the fee for the additional claims presented herein. Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970.

Please amend the above-identified patent application as follows:

IN THE CLAIMS:

Please amend claim 11 as follows:

11. (Amended) A method of managing and processing broker transaction data

a1   comprising the steps of:

entering and recording trade data into a main server database of a data processing

system;